Inventors: Scott H. Hutchinson and Kaitlyn Denise Hanka

Assignee: Symantec Corporation

Title: Software-Implemented Method for Identifying Nodes on a Network

Application No.: 09/233,860 Filing Date: January 20, 1999

Patent No.: 7,062,550 Issue Date: June 13, 2006

Examiner: Paul L. Rodriguez Group Art Unit: 2123

Docket No.: VRT0215US Confirmation No.: 6817

Austin, Texas April 4, 2011

Mail Stop Petition
U.S. Patent and Trademark Office
P. O. Box 1450
Alexandria, VA 22313-1450

# PETITION UNDER 37 C.F.R. § 1.182 IN CONNECTION WITH AN INVENTOR NAME CHANGE

Sir:

Assignee respectfully petitions under 37 C.F.R. § 1.182 for the entry of the request to change an inventor's name, which was previously filed on November 22, 2004. Petitioner hereby requests entry of the request in view of the following observations and remarks.

- 1. On November 22, 2004, Assignee submitted papers that included a <u>Petition to Withdraw from Issue</u> and a <u>Request for Continued Examination</u>.
- 2. The submission on November 22, 2004 also included a <u>Declaration</u> by one of the inventors, indicating a change of name from Gregory M. Hanka to
  - --Kaitlyn Denise Hanka-- (see attached copies). The Declaration was signed by the inventor. The Declaration set forth both names, old and new, in the name change. The Declaration also described the judicial procedure whereby the change of name was effected.

- 3. The submission on November 22, 2004 also included an amendment that included, on p. 2, a request "that the Patent Office's file be amended to reflect this name change" (see attached copy).
- 4. On June 13, 2006, the present case was issued as U.S. Patent No. 7,062,550. The issued patent did not reflect the requested correction of the inventor's name.
- 5. Further to the end of providing correct information regarding the issued patent, on April 18, 2007 Assignee filed a second request, as a Request for Entry of Certificate of Correction, requesting that inventor Gregory M. Hanka's name be corrected to Kaitlyn Denise Hanka in a Certificate of Correction.
- 6. The Office responded on June 13, 2007 (see attached copy), asserting that Assignee's request (item 5) could not be granted unless a petition and fee are filed to change an inventor's name. In response to this invitation, Assignee submits the present petition.
- 7. The Manual of Patent Examining Procedure (Ed. 8, Rev. 8, Jul. 2010) ("MPEP") specifies that a change of inventor name can be made by petition under 37 C.F.R. § 1.182, including a copy of a relevant court order or "a statement signed by the inventor setting forth both names and the procedure whereby the change of name was effected." See MPEP, § 605.04(c). Petitioner notes that this substantive requirement was met within the submissions of November 22, 2004 (see item 2 above), which also included a request for the name change (see item 3 above). See also, attached Declaration of Kaitlyn Denise Hanka.

## Relief Sought

- 8. Petitioner respectfully requests that the request from November 22, 2004 be given effect, by changing the spelling of the inventor's name in the Office computer records, and by taking any other appropriate measures regarding Office records.
- 9. Independent of whether the above request (item 8) is granted, Petitioner also requests entry of the accompanying Certificate of Correction, indicating the

correction of the inventor name (as requested on November 22, 2004 and on April 18, 2007) with regard to the issued patent.

Petitioner is filing a paper, along with a cover sheet and the recording fee, to the Assignment Division to update the assignment record with the change of inventor name.

The undersigned authorizes the Office to charge the \$400.00 Petition Fee required under 37 C.F.R. § 1.17(f) to Deposit Account 502306, along with any other fee required for this Petition.

Any inquiries concerning this matter should be directed to the undersigned at (512) 439-5097.

I hereby certify that this correspondence is being submitted to the U.S. Patent and Trademark Office in accordance with 37 C.F.R. § 1. 8 on April 4, 2011 (CT) by being (a) transmitted via the USPTO's electronic filing system; or (b) transmitted by facsimile to 571-273-8300; or (c) deposited with the U.S. Postal Service as First Class Mail in an envelope with sufficient postage addressed to: Mail Stop Petition, USPTO, P.O. Box 1450, Alexandria, VA 22313-1450.

Cyrus F. Bharucha

Date

Respectfully submitted,

Cyrus F. Bharucha Attorney for Assignee

Reg. No. 42,324 512-439-5097

512-439-5099 (fax)



In re: Application of: Scott H. Hutchinson

Gregory M. Hanka

For SOFTWARE-IMPLEMENT METHOD FOR IDENTIFYING NODES ON A NETWORK

§ Serial No:

09/233,860

Filed:

January 20, 1999

Group Art Unit: 2123

Examiner:

William D. Thomson

571.272.3718

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Atty Dkt:

**BVEW:154** 

"EXPRESS MAIL" MAILING LABEL

Number:

EV 317506868 US Date of Deposit: 22-NOV-2004

Pursuant to 37 C.F.R. § 1.10, I hereby certify that I am personally depositing this paper or fee with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above in a sealed envelope (a) having the above-numbered Express Mail tabel and sufficient postage affixed, and (b) addressed to:, MAIL STOP PETITION, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Signature

Printed Name

Hugh R. Kress

MAIL STOP PETITION Commissioner for Patents Alexandria, Virginia 22313-1450

# PETITION UNDER 37 C.F.R. § 1.313 TO WITHDRAW FROM ISSUE

Sir:

Assignee hereby petitions under 37 C.F.R. § 1.313 to withdraw the captioned application from issue. Payment of the petition fee under 37 C.F.R. 1.17(h) is enclosed herewith. If the fee payment is missing or incorrect in amount, or if other fees are determined to be due in connection with the captioned application, the Assistant Commissioner. Commissioner, and/or the Director of the U.S. Patent & Trademark Office is/are authorized to credit any overpayments or charge any deficiencies to Browning Bushman Deposit Acct. No. 02-4345, referencing attorney docket number BVEW:154. The pertinent facts are as follows:

A Notice of Allowability and an accompanying Notice of Allowance and Issue Fee Due ("the Notices") were mailed on June 25, 2004. The undersigned attorney for Assignee submitted the issue fee payment on the due date of September 27, 2004. Subsequently, it was determined that certain claims in the application as allowed contained errors. In at least four instances, these errors result in claims appearing to be



unallowable under 35 U.S.C. § 112 owing to recitation of elements lacking proper antecedent basis. Consequently, it is believed that these claims meet the "unpatentability" criteria of 37 C.F.R. § 1.313(b)(3) qualifying the captioned application for withdrawal from issue under that section.

Accompanying this Petition is a Request for Continued Examination of the captioned application, along with a Preliminary Amendment which is believed to correct the errors described above. Withdrawal of the application from issue and entry of the accompanying Preliminary Amendment is respectfully requested.

Respectfully submitted,

Date: 22-NOV-2004

Hugh R. Kress Reg. No. 36,574

**BROWNING BUSHMAN P.C.** 

5718 Westheimer

**Suite 1800** 

Houston, Texas 77057 713.266.5593 (voice) 713.266.5169 (fax)

ATTORNEY FOR ASSIGNEE

COPY

PTO/SB/30 (09-04)
Approved for use through 07/31/2006, OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

#### Request 09/233,860 **Application Number** for January 20, 1999 Filing Date Continued Examination (RCE) Scott H. Hutchinson First Named Inventor **Transmittal** 2123 Address to: **Art Unit** Mail Stop RCE William D. Thomson Commissioner for Patents **Examiner Name** P.O. Box 1450 **BVEW:154** Alexandria, VA 22313-1450 **Attorney Docket Number**

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.								
1.	Submission required under 37 CFR 1.114 Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).							
	a.	Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.						
		i.	i. Consider the arguments in the Appeal Brief or Reply Brief previously filed on					
		li. Other						
	b.	V	Enclosed					
		l.	Amendment/Reply iii		Infor	mation Disclosure St	atement (IDS)	
		ii.	Affidavit(s)/ Declaration(s) iv		Othe	r Petition Under 37 0	C.F.R. 1.313 & fee	
2.	Miscellaneous							
	Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a  a. period of months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)							
	a. b.	Cothor Cothor						
3.	<u>F</u>	The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.  The Director is hereby authorized to charge the following fees, or credit any overpayments, to						
	a.							
		i.	RCE fee required under 37 CFR 1.17(e)					
		ii.	Extension of time fee (37 CFR 1.136 and 1.17)				•	
		iii.	Other Fee for Petition Under 37 C.F.R. 1.313					
	b.	<b>~</b>	Check in the amount of \$ 920.00	enclosed				
	c. Payment by credit card (Form PTO-2038 enclosed)							
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.								
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED								
Signature tingle R. Kress  Name (Print/Type) Hugh R Kress					Date Registration No.	November 22, 2004 36,574		
Name (Print/Type) Hugh R. Kress Registration No.   36,574  CERTIFICATE OF MAILING OR TRANSMISSION EXPRESS								
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first elect mail in an envelope addressed to: Mail Step RCE, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.								
Office Signat		re 0216	Hugh R. Kress					
Name (Print/Type)			Just R Kress Date November 22, 2004					
This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO								

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to line (and by the USF10 to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



In re: Application of: Scott H. Hutchinson Kaitlyn Denise Hanka (nee Gregory M. Hanka)

For SOFTWARE-IMPLEMENT METHOD FOR IDENTIFYING NODES ON A NETWORK

§ Serial No:

09/233,860

Filed:

January 20, 1999

Group Art Unit: 2123

Examiner:

William D. Thomson

571.272.3718

Atty Dkt:

**BVEW:154** 

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Number: EV-317506868 US Date of Deposit: 22 - 1081 04

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Hugh R. Kress

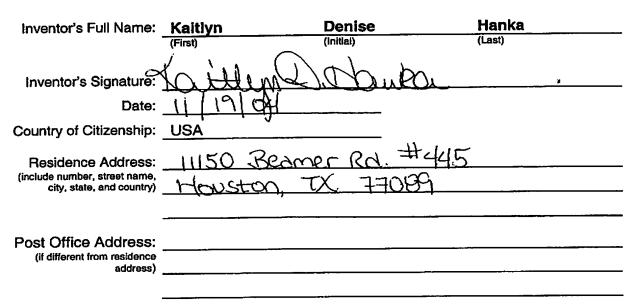
Commissioner for Patents Alexandria, Virginia 22313-1450

# DECLARATION

I, the undersigned Kaitlyn Denise Hanka, am the same person who executed the Inventor's Declaration on January 20, 1999 as Gregory M. Hanka; my name was legally changed to Kaitlyn Denise Hanka by a written Order to Change Name dated May 27, 2004, in the Family Court, 328th Judicial District, Fort Bend County, Texas, in cause no. 04-CV-136216.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.





In re: Application of:

Scott H. Hutchinson Gregory M. Hanka

For SOFTWARE-IMPLEMENT METHOD FOR IDENTIFYING NODES ON A NETWORK

§ Serial No:

09/233,860

Filed:

January 20, 1999

Group Art Unit: 2123

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**BVEW:154** 

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Signature

Printed Name Hugh R. Kress

MAIL STOP PETITION Commissioner for Patents Alexandria, Virginia 22313-1450

# PRELIMINARY AMENDMENT ACCOMPANYING REQUEST FOR CONTINUED EXAMINATION

Sir:

This paper accompanies a Request for Continued Examination of the above-captioned application and is further accompanied by the fee payment under 37 C.F.R. § 1.17(e). If the fee payment is missing or incorrect in amount, or if other fees are determined to be due in connection with the captioned application, the Assistant Commissioner. Commissioner, and/or the Director of the U.S. Patent & Trademark Office is/are authorized to credit any overpayments or charge any deficiencies to Browning Bushman Deposit Acct. No. 02-4345, referencing attorney docket number BVEW:154.

Prior to further examination on the merits, please amend the application as set forth on the following pages.



# **INVENTORSHIP**

The Patent Office is hereby notified that the legal name of co-inventor Gregory M. Hanka has been officially changed to Kaitlyn Denise Hanka, as evidenced by a written Order to Change Name dated May 27, 2004, in the Family Court, 328th Judicial District, Fort Bend County, Texas, in cause no. 04-CV-136216. A Declaration to this effect executed by Kaitlyn Denise Hanka is attached hereto. Assignee requests that the Patent Office's file be amended to reflect this name change. Further, it is respectfully requested that co-inventor Kaitlyn Denise Hanka be listed *first*, and co-inventor Scott H. Hutchinson be listed *second*.



## IN THE CLAIMS

Please amend the claims as follows:

- 1. (previously presented) A method, executed by a node on a network, said node comprising at least one asset, of transmitting asset-management information about the node, the method comprising:
  - (a) determining a current address value of a network interface card of the node, referred to as a NIC address value;
  - (b) retrieving, from a data storage at the node, a former NIC address value for the node; and
  - (c) transmitting asset-management information concerning the node together with the current NIC address value and the former NIC address value.
- 2. (previously presented) The method of claim 2, wherein determining the current NIC address value includes an attempt to detect the then-current NIC address value.
- 3. (previously presented) The method of claim 2, wherein the attempt to detect the then-current NIC address value is unsuccessful, and further comprising (i) retrieving, from a data storage at the node, a stored value containing the result of the past live detection of the then-current NIC address value, referred to as a previously-detected NIC address value; and (ii) transmitting the previously-detected NIC address value.
- 4. (previously canceled)
- 5. (previously presented) The method of claim 1, wherein the NIC address value comprises a signature portion and a pseudorandomly generated portion.
- 6. (previously presented) The method of claim 1, wherein the former NIC address value is redundantly stored in multiple partitions within the data storage at the node.

- 7. (previously presented) The method of claim 6, wherein (x) each copy of the former NIC address value is associated with a timestamp, and (y) retrieving the former NIC address value comprises retrieving the respective copy associated with the most recent timestamp.
- 8. (previously presented) A method, executed by a server node on a network, for recording, in a database, asset-management information about a client node, comprising:
  - (a) retrieving, from the client node, (1) asset-management information about the client node, (2) a current address value of a network interface card of the client node, referred to as a current NIC address value and (3) a former NIC address value for the client node that is equal to the current NIC address value;
  - (b) unsuccessfully attempting to locate, in the database, a record corresponding to the current NIC address value;
  - (c) unsuccessfully attempting to locate, in the database, a record corresponding to the former NIC address value; and
  - (d) storing the asset-management information, the current NIC address value, and the former NIC address value in a record in the database associated with the current NIC address value.
- 9. (previously canceled)
- 10. (previously presented) The method of claim 8, wherein the NIC address value comprises a signature portion and a pseudorandomly generated portion.
- 11. (currently amended) A program storage device readable by a processor in the elient node of a specified one of claims 1 through 3, 5 through 7, and 21 through 24 23, and encoding a program of instructions including instructions for performing the operations recited in the specified claim as being performed by the elient node.

- 12. (currently amended) A program storage device readable by a processor in the server node of a specified one of claims 8, 10, and 24 and encoding a program of instructions including instructions for performing the operations recited in said specified claim as being performed by the <u>server</u> node.
- 13. (currently amended) In a node on a network, a data store comprising a machine-readable data structure accessible to a processor in the node and containing node-identification information for the elient node that includes (i) a current network interface card value for the node, referred to as a NIC address value, and (ii) a former NIC address value.
- 14. (previously canceled)
- 15. The data store of claim 13, wherein the NIC address value that constitutes the current node-identifier value includes a signature portion and a pseudorandomly generated portion.
- 16. (currently amended) In a node on a network, a data store comprising:
  - (a) a plurality of machine-readable data structures accessible to a processor in the node;
  - (b) each said data structure containing node-identification information for the elient node that includes (i) a current node-identifier value, and (ii) a former node-identifier value, each said value comprising a network interface card address value, referred to as a NIC address value;
  - (c) each said data structure being associated with a timestamp.
- 17. (previously canceled)

- 18. (previously presented) The data store of claim 16, wherein the NIC address value comprises a signature portion and a pseudorandomly generated portion.
- 19. (previously presented) In a server node on a network, that includes a client node, a machine-readable data structure accessible to a processor in the server node, comprising (i) a current value of a network interface card address for the client node, referred to as a current NIC address value for the client node, (ii) a former NIC address value for the client node, and (iii) asset-management information about the client node.
- 20. (original) The machine-readable data structure of claim 19, wherein the current NIC address value comprises a signature portion and a pseudorandomly generated portion:
- 21. (previously presented) A method, executed by a node on a network, of transmitting asset-management information about the node, the method comprising:
  - (a) determining a current node identifier value, where (1) the node identifier value for any particular node in the network is dependent upon one or more node-identification attributes of that node including an address value of a network interface card in the node, referred to as a NIC address value, and (2) determining the current node identifier value includes an attempt to detect the then-current values of said one or more node-identification attributes;
  - (b) retrieving, from a data storage at the node, a former node identifier value for the node; and
  - (c) transmitting asset-management information about the node together with the current node-identifier value and the former node identifier value.
- 22. (original) The method of claim 21, wherein the attempt to detect said one or more node-identification attributes fails to detect at least one of said node-identification attributes, and further comprising (i) retrieving, from a data storage at the node, a stored value containing the result of a past live detection of the said one or more

node-identification attributes, referred to as a previously-detected node identifier value; and (ii) transmitting the previously-detected node identifier value.

- 23. (previously presented) A method, executed by a node on a network, of transmitting asset-management information about the node, the method comprising:
  - (a) attempting but failing to detect a current network interface card address value for the node, referred to as a current NIC address value;
  - (b) retrieving, from a data storage at the node, a previously-detected NIC address value;
  - (c) retrieving, from a data storage at the node, a stored value of a former NIC address value for that node; and
  - (d) transmitting the asset-management information together with the previously-detected NIC address value and the former NIC address value.
- 24. (previously presented) A method, executed by a client node and a server node on a network, for recording, in a database, asset-management information about the client node, comprising:
  - (a) the client node (1) determining a current address value of a network interface card in the node, referred to as a NIC address value, (2) retrieving, from a data storage at the node, a former NIC address value for the node, and (3) transmitting to the server node asset-management information, the current NIC address value, and the former NIC address value;
  - (b) the server node (1) unsuccessfully attempting to locate, in the database, a record corresponding to the current NIC address value, (2) locating, in the database, a record corresponding to the former NIC address value, (3) recording the asset-management information in said record, and (4) updating the record to correspond to the current NIC address value instead of the former NIC address value.



## **REMARKS**

- 1. Status of the Application. The present application was allowed on June 25, 2004, and the issue fee was submitted on September 27, 2004. Subsequently, certain errors in the claims were discovered which appeared to render some claims invalid under 35 U.S.C. § 112. Accordingly, Assignee, through its undersigned attorney, petitioned under 37 C.F.R. § 1.313; that Petition Under 37 C.F.R. § 1.313 accompanies this Preliminary Amendment associated Request for Continued Examination.
- 2. Claim Amendments. Claims 11, 13, and 16 are amended herein to change references to "client node" to "node." In each instance, there was no antecedent basis for the term "client node." Similarly, claim 12 is amended herein to change a reference to "server node" to "node," as there was no antecedent basis for the term "server node."

Claim 11 was further amended to remove dependence from claim 24, as the combined recitations of claims 11 and 24 would be nonsensical from a technical standpoint.

No new matter is added by way of the amendments made herein. Reconsideration and allowance of the claims is therefore respectfully requested.

# **CONCLUSION**

In view of the foregoing amendments and remarks, it is believed that the application as a whole is in proper form and condition for allowance. Reconsideration and allowance of the claims is respectfully requested, such that the application can advance to issue at the earliest possible date. If the Examiner believes that the application can be placed in even better condition for allowance, he is invited to contact the undersigned at the telephone number listed below.

Respectfully submitted,

Date: 27 - NOV - 2004

ugh R Kress

Hugh R. Kress Reg. No. 36,574

**BROWNING BUSHMAN P.C.** 

5718 Westheimer

**Suite 1800** 

Houston, Texas 77057 713.266.5593 (voice) 713.266.5169 (fax)

ATTORNEY FOR ASSIGNEE

. Samuel Company of Mary Mary Company of the Company Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

Date Mailed : 06/13/07

Patent No. : 7062550 B1
Patent Issued : 06/13/06
Docket No. : **BVEW:154** 

Re: Request for Certificate of Correction

Consideration has been given your request for the issuance of a certificate of correction for the above-identified patent under the provisions of Rule(s) 1.322.

Respecting the alleged errors in the documents filed on 04/18/07; please see attachment. "Therefore, no correction(s) is in order here under United States Codes (U.S.C.) 254 and the Code of Federal Regulation (C.F.R.) 1322."

In view of the foregoing, your request in this matter is hereby denied.

Lamonte M. Newsome

For Cecelia Newman, Supervisor

Decisions & Certificates

Of Correction Branch

(703) 305-8309 or (703)-308-9390 #112

Sam Campbell
Campbell Stephenson Ascolese LLP
4807 Spicewood Springs Road
Building 4
Austin TX 78759

LMN

# SPE: P. Rodriguez

Paper No.: DATE : ART UNIT TO SPE OF : Request for Certificate of Correction for Appl. No.: 09/233,860 Patent No.: 7062550 Please respond to this request for a certificate of correction within 7 days. Please review the requested changes/corrections as shown in the COCIN document(s) in the IFW application image. No new matter should be introduced, nor should the scope or meaning of the claims be changed. Please complete the response (see below) and forward the completed response to scanning using document code COCX. Lamonte M. Newsome **Certificates of Correction Branch** 703-308-9390 ext. 112 Thank You For Your Assistance The request for issuing the above-identified correction(s) is hereby: Note your decision on the appropriate box. All changes apply... Approved Specify below which changes do not apply. □ Approved in Part State the reasons for denial below. XI Denied **Art Unit** 

U.S. DEPARTMENT OF COMMERCE Patent

PTOL-308 (REV. 7/03)